



NORTH CAROLINA

Department of Transportation



FY 2019 Application Training

Carolyn Freitag

September 25, 2017

FY 2019 Application Training

Agenda

- Welcome
- Introduction
- Review Discussion Points
- New Changes to Documents
- Discuss Changes to FY 2019 Call for Projects – issues and/or concerns
- ROAP Changes and Reporting

FY 2019 Application Training

PURPOSE

The objective of this training is to provide time during the early part of the Call for Projects for transit directors or those completing the annual applications the opportunity to know what the funding targets are, what has changed from the prior year, and the opportunity to ask questions before the applications were submitted into Partner Connect.

FY 2019 Call for Projects



Call for Projects: August 28, 2017 – November 3, 2017

5311 Admin and/or Operating

5310 Operating

5307

Traveler's Aid

ConCPT

Combined Capital

Mobility Manager

5339

State Operating*

*State Operating for multi-county, regional, or consolidated systems only.

What's New



Documents have been made universal to cover all programs for Urban, Small Urban, and Rural:

- **Call for Projects Announcement**
- **Program Resolution***
- **Local Share Certificate**
- **Public Hearing**
- **Title VI**

***A copy of board meeting minutes reflecting each funding source applied for are required as supporting documentation for the combined resolution**

Authorizing Resolution

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PUBLIC TRANSPORTATION PROGRAM RESOLUTION

FY 2019 RESOLUTION

Section 5311 (including ADTAP), 5310, 5339, 5307 and applicable State funding, or combination thereof.

Applicant seeking permission to apply for Public Transportation Program funding, enter into agreement with the North Carolina Department of Transportation, provide the necessary assurances and the required local match.

A motion was made by (Board Member's Name) _____ and seconded by (Board Member's Name or N/A, if not required) _____ for the adoption of the following resolution, and upon being put to a vote was duly adopted.

WHEREAS, Article 26 of Chapter 136 of the North Carolina General Statutes and the Governor of North Carolina have designated the North Carolina Department of Transportation (NCDOT) as the agency responsible for administering federal and state public transportation funds; and

WHEREAS, the North Carolina Department of Transportation will apply for a grant from the US Department of Transportation, Federal Transit Administration and receives funds from the North Carolina General Assembly to provide assistance for rural public transportation projects; and

WHEREAS, the purpose of these transportation funds is to provide grant monies to local agencies for the provision of rural, small urban, and urban public transportation services consistent with the policy requirements of each funding source for planning, community and agency involvement, service design, service alternatives, training and conference participation, reporting and other requirements (drug and alcohol testing policy and program, disadvantaged business enterprise program, and fully allocated costs analysis); and

WHEREAS, the funds applied for may be Administrative, Operating, Planning, or Capital funds and will have different percentages of federal, state, and local funds.

WHEREAS, non-Community Transportation applicants may apply for funding for "purchase-of-service" projects under the Section 5310 program.

WHEREAS, (Legal Name of Applicant) _____ hereby assures and certifies that it will provide the required local matching funds, that its staff has the technical capacity to implement and manage the project(s), prepare required reports, obtain required training, attend meetings and conferences, and agrees to comply with the federal and state statutes, regulations, executive orders, Section 5333 (b) Warranty, and all administrative requirements related to the applications made to and grants received from the Federal Transit Administration, as well as the provisions of Section 1001 of Title 18, U. S. C.

WHEREAS, the applicant has or will provide all annual certifications and assurances to the State of North Carolina required for the project.

NOW, THEREFORE, be it resolved that the (Authorized Officer's Title) _____ of (Name of Applicant's Governing Body) _____ is hereby authorized to submit grant application (s) for federal and state funding in response to NCDOT's calls for projects, make the necessary assurances and certifications and be empowered to enter into an agreement with the NCDOT to provide rural, small urban, and urban public transportation services.

I, (Certifying Officer's Name) _____ (Certifying Officer's Title) _____ do hereby certify that the above is a true and correct copy of an excerpt from the minutes of a meeting of the (Name of Applicant's Governing Board) _____ duly held on the _____ day of _____.

Signature of Certifying Official

*Note that the authorized official, certifying official, and notary public should be three separate individuals.

Seal/ Subscribed and sworn to me (date)

Notary Public

Printed Name and Address

My commission expires (date)

Affix Notary Seal Here

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LOCAL SHARE CERTIFICATION FOR FUNDING

(Legal Name of Applicant)

Requested Funding Amounts

Project	Total Amount	Local Share
Administrative	\$	\$ (15%)
5311 Operating (No State Match)	\$	\$ (50%)
5310 Operating (No State Match)	\$	\$ (50%)
5307 Operating	\$	\$ (50%)
5307 Planning	\$	\$ (20%)
Capital	\$	\$ (10%)
Mobility Management	\$	\$ (10%)
	\$	\$ (%)
	\$	\$ (%)
	\$	\$ (%)

Funding programs covered are 5311, 5310, 5339 Bus and Bus Facilities, 5307 (street fixed route, regional, and consolidated urban-rural systems)

TOTAL	\$	\$
	Total Funding Requests	Total Local Share

The Local Share is available from the following sources:

Source of Funds	Grant Applied To	Amount
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
		\$
TOTAL		\$

** Fare box revenue is not an applicable source for local share funding

FY 2019 Local Share Certificate (page 2)

I, the undersigned representing (Legal Name of Applicant) do hereby certify to the North Carolina Department of Transportation, that the required local funds for the FY2019 Community Transportation Program and 5307 Governors Apportionment will be available as of July 1, 2018 which has a period of performance of July 1, 2018 – June 30, 2019.

Signature of Authorized Official _____

Type Name and Title of Authorized Official _____

Date _____

Public Hearing Notice

PUBLIC HEARING NOTICE
Sections 8311 (JCTRP), 8316, 8328, 8327 and applicable State Funding, or combinations thereof

This is to inform the public that a public hearing will be held on the proposed [] Community Transportation Program Application to be submitted to the North Carolina Department of Transportation no later than []. The public hearing will be held on [] at [] before the following board: []

Those interested in attending the public hearing and needing either auxiliary aids and services under the Americans with Disabilities Act (ADA) or a language interpreter should contact [] on or before [] at telephone number [] or via email at []

The Community Transportation Program provides assistance to coordinate existing transportation programs operating in [] as well as provide transportation options and services for the communities within this service area. These services are currently provided []. Services are rendered by [].

The total estimated amount requested for the period July 1, 2018 through June 30, 2019

Board	Total Amount	Local Share
Administrative	\$ []	\$ [] (10%)
Operating (S111)	\$ []	\$ [] (50%)
Capital (Vehicles & Other)	\$ []	\$ [] (10%)
S110 Operating	\$ []	\$ [] (50%)
Other	\$ []	\$ [] (%)
TOTAL PROJECT	\$ []	\$ []

Total Funding Request **Total Local Share**

The application may be inspected at [] from [] to []. Written comments should be directed to [] before [].

City of []

Note: AN ORIGINAL COPY of the published Public Hearing Notice must be attached to a signed Affidavit of Publication. Both the Public Hearing Notice and the Affidavit of Publication must be submitted with the CTP grant application.

Title VI Program Report

Microsoft Word ribbon interface showing the Title VI Program Report form.

SECTION 5311, 5319, 5339, Consolidated Capital, 5307 or State Funds Call for Projects
TITLE VI PROGRAM REPORT

Legal Name of Applicant: _____
(Complete either Part A or Part B, and Part C)

Part A – No complaints or lawsuits filed

I certify that to the best of my knowledge, no complaints or lawsuits alleging discrimination have been filed against _____ (Transit System Name) during the period July 1, 2015 through June 30, 2017.

Signature of Authorized Official _____ Date _____
Type Name and Title of Authorized Official _____

Part B – Complaints or lawsuits filed

I certify that to the best of my knowledge, the below described complaints or lawsuits alleging discrimination have been filed against _____ (Transit System Name) during the period July 1, 2015 through June 30, 2017.

Complainant Name/Address/Telephone Number	Date	Description	Status/Outcome

(Attach an additional page if required.)

Signature of Authorized Official _____ Date _____
Type Name and Title of Authorized Official _____

Part C – Title VI Plan

Do you currently have a Title VI Plan? _____ Date of last plan update: _____

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What's New (continued)



- **5311 Admin/Operating Funding**

- Indirect cost rate verification/update will be done for FY 2019
- Applicant checklist is updated and space for application number

- **5310 Enhanced Mobility of Seniors and Individuals with Disabilities**

- Transit systems may only apply for funding for (G313) Transportation of clients or others
- Non-community transportation applicants may only apply for funding for (G-341) or (G-611) Purchase of Service. Contracts/Memorandums of Agreement for service are required
- Salary and benefit expenses are not eligible items

- **Combined Capital**

- Official vehicle mileage is: will vehicle to be replaced reach useful life prior to June 30th – more to come on this change
- Mobility Manager has been removed
- Procurements over \$3,500 require procurement checklist, review, and approval from PTD
- Same documentation as 5311 application and 5310 application, only need specific quotes/estimates if requesting items such as computers, furniture, fencing, etc...

Service Contract Template

Direct Purchase of Service



Contract for Transportation Services

A CONTRACT BETWEEN

(ORGANIZATION NAME)

(CITY/COUNTY), North Carolina

AND

Transportation Services Vendor Name, Location

This Transportation Services Contract Contract (“*Contract*”) is made and entered into by ORGANIZATION NAME, (CITY/COUNTY) North Carolina, and Transportation Services Vendor, Location, henceforth known as the “*Contractor*”.

ARTICLE 1. SCOPE OF SERVICES: The parties have entered into a *Contract*. ORGANIZATION NAME (“*System*”) enters into the *Contract* as Agent for their organization. The *Contractor* agrees to provide Transportation Services and all other duties/responsibilities/deliverables included or referred to in this *Contract*.

ARTICLE 2. DURATION: The *Contract* becomes effective XXX, 20XX, and is to continue through XXX, 20XX.

ARTICLE 3. COMPLETE CONTRACT: The *Contract* shall consist of the following documents:

1. The text of this *Contract* form;
2. The Request for Proposal for Transportation Services, issued by the *System* on XXXX, 20XX, including all federal and state requirements, and all related Addenda;
3. The Proposal submitted by the *Contractor*, all Addenda/Appendices included with the Proposal and all official correspondence regarding the Proposal provided by the *Contractor* and accepted by the *System*;
4. The GOVERNING BODY NAME awarded the *Contract* at their meeting held on XXX, 20XX.

ARTICLE 4. LEGAL AUTHORITY: The parties warrant and represent to each other that they have adequate legal counsel and the authority to enter into this *Contract*.

ARTICLE 5. APPLICABLE LAWS: The parties agree to conduct all activities under this *Contract* in accordance with all applicable rules, regulations, directives, issuances, ordinances, and laws in effect or promulgated during the terms of this *Contract*.

IN WITNESS THEREOF, the parties have caused this contract to be executed by their duly authorized representatives.

Signed for Organization Name:

Signature: _____ Date: _____

Print Name and Title: _____

Attest for Organization Name:

Signature: _____ Date: _____

Print Name and Title: _____

Signed for Transportation Services Vendor, Location:

Signature: _____ Date: _____

Print Name and Title: _____

Attest for Transportation Services Vendor, Location:

Signature: _____ Date: _____

Print Name and Title: _____

What's New (continued)



- **Mobility Manager**
 - Separate application
 - Same documentation as 5311 application and 5310 application
 - Mobility Manager progress report
 - Will only be funded if all other Capital projects have been funded

- **Traveler's Aid – no changes**

Mobility Management Report Form

Microsoft Word ribbon: FILE, HOME, INSERT, DESIGN, PAGE LAYOUT, REFERENCES, MAILINGS, REVIEW, VIEW, ACROBAT. Title bar: Mobility Management Progress Reporting Form (Corvus@BRTy Mob) - Word. User: Carolyn M. Freitag.

North Carolina Department of Transportation
Public Transportation Division
MOBILITY MANAGEMENT PROGRESS REPORTING FORM

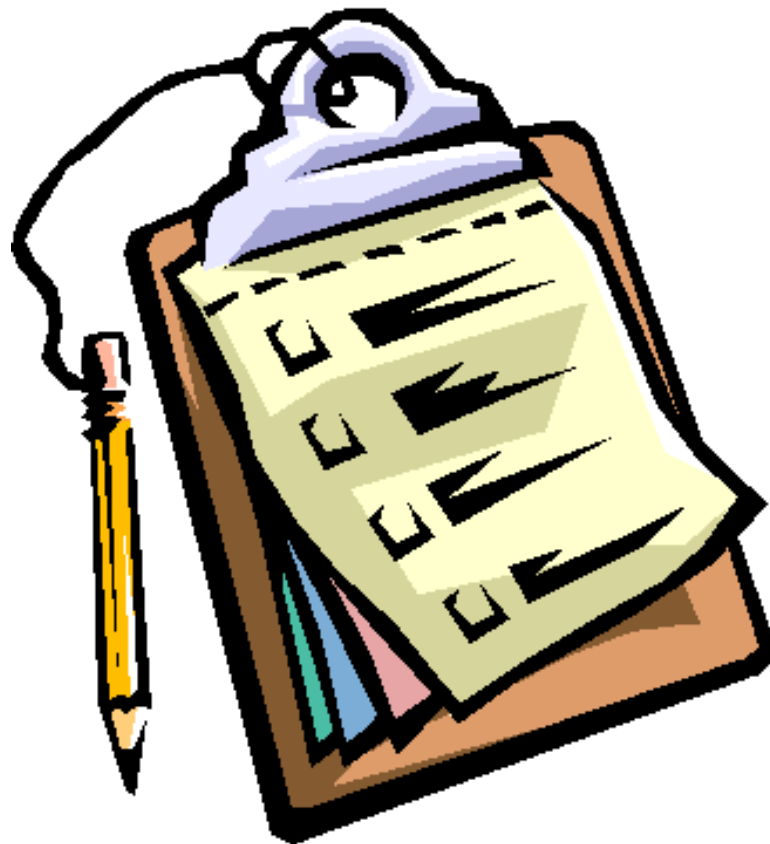
Grantee Name:
Project Number:
WBS Element:
Period Covered:

Mobility Management Activity	Accomplishments During Period (Provide as much detail as possible)
Total Trips for Area Served (breakdown by system)	
Breakdown Trip Purpose by Percent	
Meetings Attended (list type, date, sponsor) and attach agenda or copy of sign-in sheet	
Number and Type of Client Interactions	

Training Attended (attach agenda)	
List Presentations Made	

PAGE 1 OF 2 73 WORDS 77%

Progress Reports



5311 Admin Progress Report Form

Administration Grant Progress Reporting Form (3) (Compatibility Mode) - Word

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North Carolina Department of Transportation
Public Transportation Division
ADMINISTRATION GRANT PROGRESS REPORTING FORM

Project Name:
Project Number:
WBS Element:
Period Covered:

Administrative Activity	Accomplishments During Period
Staff Changes	
Advertising/Marketing	
Training	
Outreach Efforts	
TAB Meeting Date & Summary	
Travel	
Repairs & Maintenance	
Other Significant Activities	

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5310 Progress Report Form

5310 Reporting Form [1] (Compatibility Mode) - Word

Carolyn M. Fostag

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Clipboard Font Paragraph Styles

North Carolina Department of Transportation
Public Transportation Division
Section 5310 (Elderly & Disabled) Reporting Form

Reporting Period: _____ to _____

Please complete the following information and submit/attach with your claim for reimbursement.

ENTER AGENCY NAME HERE	
Agency Address	
Point of Contact Information	Name: _____ Phone: _____
Names of Counties Served (List all counties served even if partial county is served)	
Actual or estimated number of one-way trips	Purchase of service: (All trips not using a 5310 funded vehicle) Using 5310 funded vehicle(s): _____
Number of individuals eligible to be served Report the number of clients that are eligible to receive transportation services in the counties you serve	

PAGE: 01 of 1 388 WORDS

77%

Combined Capital Progress Report Form

Microsoft Word interface showing the "CAPITAL GRANT REPORTING FORM (Compatibility Mode)". The ribbon includes FILE, HOME, INSERT, DESIGN, PAGE LAYOUT, REFERENCES, MAILINGS, REVIEW, VIEW, and ACROBAT. The font is Times New Roman, size 12.

The form is titled "North Carolina Department of Transportation Public Transportation Division CAPITAL GRANT REPORTING FORM".

Fields for completion include:

- Names of Grantee: _____
- Project #: _____
- Period of Performance: _____
- Period Covered: _____
- WGL Element: _____
- Report Date: _____

The main table has columns: Capital Item #/Code, Description of Item (How the item and details as well as other information from the grant are used for the item), Quantity, Project Status, and Date.

Below the table, there are sections for "Status:" and "Comments:" for each item, with checkboxes for "PI issued", "Contract awarded", and "Contract completed".

At the bottom, there is a section for "Report Prepared by:" with fields for Name and Title, and a "Date:" field.

Page 1 of 1, 129 words.

Grant Information and Requirements

- Section 5311 Admin/Operating
- Section 5310 Enhanced Mobility of Seniors and Individuals w/ Disabilities Program
- Combined Capital
- Mobility Management
- Traveler's Aid
- ConCPT
- Local Match

Section 5311 Admin and/or Operating Grant

1. 5-Year budget amounts distributed by MDS – use FY19 numbers
2. Amount can be used as all Admin, all Operating, combination
3. If 5311 funds are used as Admin & Operating, total cannot exceed the total amount of State and Federal portion.
4. State does not participate in Operating budgets
5. Job descriptions are required for new positions added to the grant or if a change in job duties.

Section 5311 Admin and/or Operating Grant

6. If an Admin position is less than 100% assigned to Transportation the amount of salary has to be requested accordingly, i.e. Administrative Assistant, 50% Transportation and 50% Operations. The 50% for Operations cannot be requested with Admin dollars.
7. Equivalency of Service Certification – if fleet contains any non-lift equipped vehicles or such a vehicle will be ordered, this certification has to be completed.
8. Conflict of Interest forms from TAB members are an annual requirement.
9. Lease and/or service agreements are required documents for rent, equipment, professional or contracted services, uniform rental, etc...

Section 5310 Enhanced Mobility of Seniors and Individuals w/ Disabilities Program

1. The Section 5310 Program circular defines a Senior as an individual **65** years or older.
2. Section 5310 funding is competitive. The application is narrative, all questions must be thoroughly answered. The answers will be used to score the projects to determine what projects will be funded. The scoring criteria is listed in the Application Overview.
3. Only Section 5311 grantees and/or Section 5307 (small urban) grantees are allowed to apply for replacement vehicles with 5310 funding. Certification that vehicle won't be used in a large urban area will be required.
4. Capital requests for replacement vehicles must be applied for under the Combined Capital application. Vehicles are the first priority for funding.

Section 5310 Enhanced Mobility of Seniors and Individuals w/ Disabilities Program

5. Section 5310 funds are only available for the following G-codes: **G(313)** Transportation of clients or others, or for non-transportation applicants, **G(611)** Direct Purchase of Service (Private) or **G(641)** Direct Purchase of Service (Public)
6. Applications for purchase of service funding from applicants that are not 5311 or 5307 funded grantees must include:
 - A Memorandum of Understanding between the applicant and a 5311 or 5307 funded transit provider to be the sole provider of service; or
 - Proof the applicant completed a compliant federal procurement for private transportation providers that provide shared ride service.
7. Salaries and benefit expenses along with motor fuel, oils and lubricants, etc...are not eligible items for 5310 funding.

Combined Capital Grant

1. The Combined Capital application is very much the same as the FY 2018 application with the exceptions noted earlier such as the Mobility Manager option being removed and the meeting useful life criteria for replacement vehicles.
2. Application is mainly narrative, please elaborate as much as possible on the questions that ask for a written answer.
3. MDS' will be working with transit systems on determining how many and which vehicles will be in line for replacement in FY 2019.
4. **Application UPDATE:** Table 1 and Table 2 reference Revenue Miles and Revenue Hours, this information should be ending odometer miles as of July 1st so they can be used as a projection of meeting useful life before ordering the approved vehicles. **Incidental use of vehicle miles do not count toward meeting useful life of the vehicle.**

Mobility Management Grant

1. Eligibility for a Mobility Manager grant requires a system to be regional, multi-county, or consolidated.
2. Application is mainly narrative, please elaborate as much as possible on the questions that ask for a written answer.
3. A job description is required for the Mobility Manager application. Include the percent of time assigned to each task.
4. The progress report submitted quarterly or with each claim must include details on number of clients served, meeting attended, presentations made to support the activities listed in the application. Sign-in sheet or meeting agenda must be included.

Traveler's Aid

1. The North Carolina Department of Transportation (NCDOT) assists in funding Travelers' Aid programs around the state. The overall purpose of the Travelers' Aid Program is to provide intercity bus and/or train tickets for disadvantaged individuals, victims of domestic violence, and stranded travelers in need of transportation to other locations in times of distress.
2. These programs provide assistance to homeless individuals or families who are seeking relocation to safe, stable, and supportive homes. Issues include, but are not limited to:
 - Escaping domestic violence
 - Experiencing a major medical crisis
 - Job Loss
 - Homelessness

Traveler's Aid

3. The mission of the Travelers' Aid program is to advance and support a network of human service providers committed to assisting individuals and families who are in transition or crisis and are disconnected from their support systems. Travelers' Aid programs consist of a diverse group of human service nonprofit organizations and a network of transportation providers. While each agency shares the core service of helping stranded travelers, many Travelers' Aid agencies provide shelter for the homeless, transitional housing, job training, counseling, local transportation assistance, and other programs to help people in crisis.
4. Eligible applicants are private non-profit organizations; public transportation providers, including private operators of public transportation services; and local governmental authorities.
5. No federal funding, 50% State and 50% Local funding.

ConCPT Funding

1. **NEW** funding provided by the North Carolina legislature in August 2017.
2. Funding is provided to consolidate systems or coordinate trips to maximize resources, gain efficiencies, and increase access to public transportation.
3. Funds are for two purposes: 1) encourage transit systems to consolidate into a single transit system and 2) encourage coordination between providers for longer-distance trips spanning multiple (3 or more) service areas.
4. \$1.5M in funding, \$750,000 for each program.

ConCPT Funding

5. Service must run 5-days per week to be eligible.
6. A billing scenario between lead system and participating systems must be established but each system benefits with increased ridership, trips counted on each leg, and revenues earned as usual.
7. Application is divided between programs, only complete applicable part.
8. Upload application and supporting documents into Partner Connect FY19 Miscellaneous. No budget to create in Partner Connect.

Sources of Local Match

Farebox revenue is NOT a source of local match

As with all FTA formula program grants administered by NCDOT, the local match must be provided from sources other than federal Department of Transportation funds. Some examples of possible local match sources include:

- local or state appropriations
- dedicated tax revenues
- federal funds – non-USDOT – must have transportation component
- private donations
- revenue from human services contracts and net income generated from advertising and concessions

FY 2019 Call for Projects (continued)



Call for Projects: August 29, 2017 – November 3, 2017

- What challenges do the application packages present
- What can be done to improve the workflow of the package
- Is there specific training needed on completing the application

Rural Operating Assistance Program (ROAP)

FY 2018 PTD will disburse ROAP funds 3 times:

1. September 15, 2017 - 50%
2. January 15, 2018 - 25%
3. April 15, 2018 - 25%

Reductions for unspent funds would continue to be made in the September disbursement.

*Late reports result in $\frac{1}{2}$ of 1% reduction each day until it is received.

Rural Operating Assistance Program (ROAP)

FY 2018 PTD will disburse ROAP funds 3 times:

1. September 15, 2017 - 50%
2. January 15, 2018 - 25%
3. April 15, 2018 - 25%

Quarterly ROAP Reports will be due on:

1Q – October 31st

2Q – January 31th

3Q – April 30th

4Q – August 21st = Annual Report

Rural Operating Assistance Program (ROAP)

ROAP Report

- FY 2018 ROAP Report has been updated and more automated. Surplus and deficit amounts are tracked throughout the year and added or subtracted from the quarterly disbursement. Transfers are easily entered into the transfer tab then deducted from the available funding. Additional trips and local dollars are accounted for in a separate tab to recognize the amount of funding a county may put into any or all programs.
- ROAP report will show where money is being spent or not and will help provide a road map to improving how the ROAP program is managed in the future.
- FY18 Q2 ROAP report will require trip documentation.

